

*Receipt*

*#10*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Applicant: CHAOXIN C. QIU ET AL.

Filed: OCTOBER 3, 2001

Priority: SYSTEMS AND METHODS FOR RESOURCE MONITORING  
IN INFORMATION STORAGE ENVIRONMENTS

Serial No.: 09/970,452

Examiner: UNKNOWN

Atty Dkt: SURG:159

Pursuant to 37 C.F.R. 1.8, I certify that this correspondence is being deposited with the U.S. Postal Service in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on the date below:

2-15-02

*Marty Beller*

Date

Name

Assistant Commissioner For Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

**REQUEST FOR CORRECTED FILING RECEIPT**

Sir:

A corrected filing receipt is hereby requested in view of the error which appears in the original.

1) In the Applicants section, please change the order of the Applicants, Chaoxin C. Qiu should be listed as the first inventor.

2) In the Domestic Priority Data as claimed by Applicant

Please delete "And Claims benefit of 60/187,211 3/3/00"

Please add the following:

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Assistant Commissioner for Patents and Trademarks  
Page 2

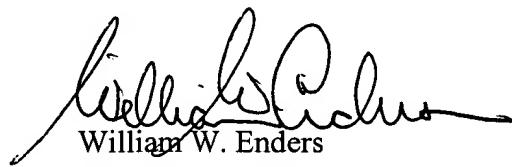
--And claims benefit of 09/879,810 6/12/01  
And claims benefit of 09/797,198 3/1/01  
And claims benefit of 09/797,201 3/1/01  
And claims benefit of 09/797,200 3/1/01  
Which claims benefit of 60/187,211 3/3/00--

A copy of the original filing receipt is attached, with the requested change(s) indicated in red.

Because the error is not due to any error by Applicant(s), no fee is believed to be due in connection with the filing of this document. However, should any fee under 37 C.F.R. §§1.16 to 1.21 be deemed necessary for any reason relating to this document, the commission is hereby authorized to deduct said fee from Deposit Account 10-1205/SURG:159.

Please date stamp and return the enclosed postcard evidencing receipt of these materials.

Respectfully submitted,



William W. Enders  
Reg. No. 41,735  
Attorney for Applicant

O'KEEFE, EGAN & PETERMAN, L.L.P.  
1101 Capital of Texas Highway South  
Building C, Suite 200  
Austin, Texas 78746  
512-347-1611  
512-347-1615 (FAX)

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O'Keefe, Egan &amp; Peterman, LLP

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/970,452	10/03/2001	3753	831	SURG:159	8	64	3

## CONFIRMATION NO. 3306

## UPDATED FILING RECEIPT



\*OC00000007281800\*

William W. Enders  
O'KEEFE, EGAN & PETERMAN  
Building C, Suite 200  
1101 Capital of Texas Highway South  
Austin, TX 78746

Date Mailed: 01/08/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) Chaixin C. Qiu, Austin, TX

Umesh Gupta, Austin, TX;  
Scott C. Johnson, Round Rock, TX;  
Sarma Kolavasi, Austin, TX;  
Chaixin C. Qiu, Austin, TX;  
Theodore S. Webb, Austin, TX;  
Richard W. Yu, Cedar Park, TX;  
Mark J. Conrad, Colorado Springs, CO;

## Assignment For Published Patent Application

SURGENT NETWORKS, INC.;

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TECHNOLOGY CENTER R3700

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF 09/947,869 09/06/2001 WHICH CLAIMS BENEFIT OF 60/285,211 04/20/2001 AND CLAIMS BENEFIT OF 60/291,073 05/15/2001 AND CLAIMS BENEFIT OF 60/246,445 11/07/2000 AND CLAIMS BENEFIT OF 60/246,359 11/07/2000 AND CLAIMS BENEFIT OF 60/187,211 03/03/2000 AND CLAIMS BENEFIT OF 60/246,401 11/07/2000

and claims benefit of 09/879,810 - 6/12/01

Foreign Applications " " " 09/797,198 - 3/1/01

" " " 09/797,201 - 3/1/01

If Required, Foreign Filing License Granted 10/31/2001

" " " 09/797,200 - 3/1/01

which claims Benefit of 60/187,211 3/3/00

Projected Publication Date: 04/18/2002



Non-Publication Request: No

Early Publication Request: No

**\*\* SMALL ENTITY \*\*****RECEIVED**

MAR 18 2002

TECHNOLOGY CENTER R3700

**Title**

Systems and methods for resource monitoring in information storage environments

**Preliminary Class**

137

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Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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Bib Data Sheet

**CONFIRMATION NO. 3306**

<b>SERIAL NUMBER</b> 09/970,452	<b>FILING DATE</b> 10/03/2001 <b>RULE</b>	<b>CLASS</b> 137	<b>GROUP ART UNIT</b> 3753	<b>ATTORNEY DOCKET NO.</b> SURG:159
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**APPLICANTS**

Chaoxin C. Qiu, Austin, TX;  
 Umesh Gupta, Austin, TX;  
 Scott C. Johnson, Round Rock, TX;  
 Sarma Kolavasi, Austin, TX;  
 Theodore S. Webb, Austin, TX;  
 Richard W. Yu, Cedar Park, TX;  
 Mark J. Conrad, Colorado Springs, CO;

**\*\* CONTINUING DATA \*\*\*\*\***

THIS APPLICATION IS A CON OF 09/947,869 09/06/2001  
 WHICH CLAIMS BENEFIT OF 60/285,211 04/20/2001  
 AND CLAIMS BENEFIT OF 60/291,073 05/15/2001  
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 AND CLAIMS BENEFIT OF 60/187,211 03/03/2000  
 AND CLAIMS BENEFIT OF 60/246,401 11/07/2000

**\*\* FOREIGN APPLICATIONS \*\*\*\*\*****IF REQUIRED, FOREIGN FILING LICENSE GRANTED \*\* SMALL ENTITY \*\***

\*\* 10/31/2001

Foreign Priority claimed	<input type="checkbox"/> yes <input type="checkbox"/> no	STATE OR COUNTRY TX	SHEETS DRAWING 8	TOTAL CLAIMS 64	INDEPENDENT CLAIMS 3
35 USC 119 (a-d) conditions met	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged	Examiner's Signature _____ Initials _____				

**ADDRESS**

William W. Enders  
 O'KEEFE, EGAN & PETERMAN  
 Building C, Suite 200  
 1101 Capital of Texas Highway South  
 Austin , TX 78746

**TITLE**

Systems and methods for resource monitoring in information storage environments

<b>FILING FEE RECEIVED</b> 831	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )
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1.18 Fees ( Issue )

Other \_\_\_\_\_

Credit